

Overview of Model Letters Used in Preparing for Site Visit

This document explains the model letters, the time frames associated with them, and how they should be used. The document is broken down into two parts depending on where the monitoring review is being conducted. These parts are: monitoring reviews that are conducted completely or partially in the CMS regional office and monitoring reviews that are conducted completely onsite at an M+CO. Once it is decided where the monitoring review will take place, you can use the information below to help answer questions you may have about the letters.

Please note: the letters and their attachments are differentiated as a block that belongs together by yellow highlighted text or the absence of any highlights.

Monitoring Reviews Conducted Completely Onsite

- **File Name:** 1-Model #1 – Letter Requesting Delegated Entity Listing.doc.
Letter Title: Appendix 1 – Model 1 Letter Requesting Delegated Entity Listing.
Purpose: To request a delegated entity listing from the M+CO.
Attachment(s): Yes, one attachment.
When to Send to M+CO: 9 weeks before the review date.
When RO Should Receive Response from M+CO: Response only required to the attachment.
- **File Name:** 2-Model #1 A – Enclosure - Delegated Entity Listing in Preparation for CMS Monitoring Review.xls
Attachment Title: Model 1A - Delegated Entity Listing in Preparation for CMS Monitoring Review.
Purpose: To serve as a template that the M+CO should complete so that the RO has a listing of the M+CO's delegated entity contracts.
Attachment(s): Serves as an attachment to Model 1 Letter Requesting Delegated Entity Listing.
When to Send to M+CO: 9 weeks before the review date.
When RO Should Receive Response from M+CO: 7 weeks before the review date.
- **File Name:** 3-Model #2 – Letter Confirming Review Onsite.doc
Letter Title: Appendix 1 – Model #2 - Letter Confirming Review Onsite
Purpose: To confirm the purpose of the review and the review details with the M+CO.
Attachment(s): Yes, five attachments.
When to Send to M+CO: 6 weeks before the review date.
When RO Should Receive Response from M+CO: 4 weeks before the review date
- **File Name:** 4-Model #2 A – Enclosure I – Information Required for Review.xls

Attachment Title: M+CO Instructions for Enclosure I – Information Required for Review.

Purpose: To let the M+CO know which elements will be reviewed and which documents should be sent into the RO and which should be available onsite.

Attachment(s): Serves as an attachment to Model #2 - Letter Confirming Review Onsite

When to Send to M+CO: 6 weeks before the review date.

When RO Should Receive Response from M+CO: 4 weeks before the review date

- **File Name:** 5-Model #2B – Enclosure II – Staff to be Available for Discussions.doc

Attachment Title: Appendix 1 – Model #2B – Enclosure II – Staff to be Available for Discussions

Purpose: To let the M+CO know who the RO would like to interview during the review.

Attachment(s): Serves as an attachment to Model #2 - Letter Confirming Review Onsite

When to Send to M+CO: 6 weeks before the review date.

When RO Should Receive Response from M+CO: No response required.

- **File Name:** 6-Model #2 C – Enclosure III – Sample Agenda Format.doc

Attachment Title: Appendix 1 – Enclosure III – Sample Agenda Format

Purpose: To provide the M+CO with a sample agenda so that they may appropriately arrange their schedules during the review.

Attachment(s): Serves as an attachment to Model #2 - Letter Confirming Review Onsite

When to Send to M+CO: 6 weeks before the review date.

When RO Should Receive Response from M+CO: 1 week before the review date

- **File Name:** 7-Model #2D – Enclosure IV- Universe Request for Samples to be Reviewed by CMS.doc

Attachment Title: Appendix 1 – Enclosure IV- Universe Request for Samples to be Reviewed by CMS

Purpose: To inform the M+CO on what universes will be reviewed for the worksheet samples and how to provide universes to CMS.

Attachment(s): Serves as an attachment to Model #2 - Letter Confirming Review Onsite

When to Send to M+CO: 6 weeks before the review date.

When RO Should Receive Response from M+CO: 4 weeks before the review date

- **File Name:** 8-Model # 2E – Enclosure V – Elements Met Based on Review of Independent Review Entity Data.doc

Attachment Title: Appendix 1 – Enclosure V – Elements Met Based on Review of Independent Review Entity Data

Purpose: To let the M+CO know if any elements are found “Met” based on CMS’s IRE data review.

Attachment(s): Serves as an attachment to Model #2 - Letter Confirming Review Onsite

When to Send to M+CO: 6 weeks before the review date.

When RO Should Receive Response from M+CO: No response required.

- **File Name:** 9-Universe_Templates.xls

Workbook Title: Workbook to Produce Universe Requests

Purpose: To help the M+CO and serve as a template for the universe requests.

Attachment(s): No

When to Send to M+CO: The RO does not send this out. It is on the CMS website as referred to in Enclosure IV- Universe Request for Samples to be Reviewed by CMS.

When RO Should Receive Response from M+CO: 4 weeks before the review date

- **File Name:** 12-Model #5 – Letter Transmitting Sample Cases to be Reviewed.doc
Letter Title: Appendix 1 – Model #5 – Letter Transmitting Sample Cases to be Reviewed

Purpose: To let the M+CO know the sample cases selected for review.

Attachment(s): Yes, one attachment.

When to Send to M+CO: 3 weeks before the review date.

When RO Should Receive Response from M+CO: Will see samples onsite.

- **File Name:** 13-Model #5A – Enclosure I – Minimum Documentation Requirements for Sample Case Files.doc

Attachment Title: Appendix 1 – Model #5A – Enclosure I – Minimum Documentation Requirements for Sample Case Files.

Purpose: To let the M+CO know the minimum documentation a delegated entity listing from the M+CO.

Attachment(s): Serves as an attachment to Model #5 - Letter Transmitting Sample Cases to be Reviewed.

When to Send to M+CO: 3 weeks before the review date.

When RO Should Receive Response from M+CO: Will see samples onsite.

Monitoring Reviews Conducted Completely or Partially in the Regional Office

- **File Name:** 1-Model #1 – Letter Requesting Delegated Entity Listing.doc.

Letter Title: Appendix 1 – Model 1 Letter Requesting Delegated Entity Listing.

Purpose: To request a delegated entity listing from the M+CO.

Attachment(s): Yes, one attachment.

When to Send to M+CO: 12 weeks before the review date.

When RO Should Receive Response from M+CO: Response only required to the attachment.

- **File Name:** 2-Model #1 A – Enclosure - Delegated Entity Listing in Preparation for CMS Monitoring Review.xls
Attachment Title: Model 1A - Delegated Entity Listing in Preparation for CMS Monitoring Review.
Purpose: To serve as a template that the M+CO should complete so that the RO has a listing of the M+CO's delegated entity contracts.
Attachment(s): Serves as an attachment to Model 1 Letter Requesting Delegated Entity Listing.
When to Send to M+CO: 12 weeks before the review date.
When RO Should Receive Response from M+CO: 10 weeks before the review date.
- **File Name:** 10-Model #3 – Letter Confirming Review Partially Onsite.doc or
File Name: 11-Model #4 – Letter Confirming Review in the Office.doc
(use the letter that fits the particular review structure).
Letter Title: Appendix 1 – Model #3 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted Partially Onsite or
Letter Title: Appendix 1 – Model #4 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted In the Office *(use the letter that fits the particular review structure).*
Purpose: To confirm the purpose of the review and the review details with the M+CO.
Attachment(s): Yes, five attachments.
When to Send to M+CO: 9 weeks before the review date.
When RO Should Receive Response from M+CO: 7 weeks before the review date
- **File Name:** 4-Model #2 A – Enclosure I – Information Required for Review.xls
Attachment Title: M+CO Instructions for Enclosure I – Information Required for Review.
Purpose: To let the M+CO know which elements will be reviewed and which documents should be sent into the RO and which should be available onsite.
Attachment(s): Serves as an attachment to Model #3 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted Partially Onsite or Appendix 1 – Model #4 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted In the Office.
When to Send to M+CO: 9 weeks before the review date.
When RO Should Receive Response from M+CO: 7 weeks before the review date
- **File Name:** 5-Model #2B – Enclosure II – Staff to be Available for Discussions.doc

Attachment Title: Appendix 1 – Model #2B – Enclosure II – Staff to be Available for Discussions

Purpose: To let the M+CO know who the RO would like to interview during the review.

Attachment(s): Serves as an attachment to Model #3 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted Partially Onsite **or** Appendix 1 – Model #4 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted In the Office

When to Send to M+CO: 9 weeks before the review date.

When RO Should Receive Response from M+CO: No response required

- **File Name:** 6-Model #2 C – Enclosure III – Sample Agenda Format.doc
Attachment Title: Appendix 1 – Enclosure III – Sample Agenda Format
Purpose: To provide the M+CO with a sample agenda so that they may appropriately arrange their schedules during the review.
Attachment(s): Serves as an attachment to Model #3 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted Partially Onsite **or** Appendix 1 – Model #4 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted In the Office
When to Send to M+CO: 9 weeks before the review date.
When RO Should Receive Response from M+CO: 1 week before the review date
- **File Name:** 7-Model #2D – Enclosure IV- Universe Request for Samples to be Reviewed by CMS.doc
Attachment Title: Appendix 1 – Enclosure IV- Universe Request for Samples to be Reviewed by CMS
Purpose: To inform the M+CO on what universes will be reviewed for the worksheet samples and how to provide universes to CMS.
Attachment(s): Serves as an attachment to Model #3 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted Partially Onsite **or** Appendix 1 – Model #4 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted In the Office
When to Send to M+CO: 9 weeks before the review date.
When RO Should Receive Response from M+CO: 7 weeks before the review date
- **File Name:** 8-Model # 2E – Enclosure V – Elements Met Based on Review of Independent Review Entity Data.doc
Attachment Title: Appendix 1 – Enclosure V – Elements Met Based on Review of Independent Review Entity Data
Purpose: To let the M+CO know if any elements are found “Met” based on CMS’s IRE data review.
Attachment(s): Serves as an attachment to Model #3 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted Partially Onsite **or**

Appendix 1 – Model #4 - Letter Confirming Post-Contract, Comprehensive, or Focused Review to be Conducted In the Office

When to Send to M+CO: 9 weeks before the review date.

When RO Should Receive Response from M+CO: No response required.

- **File Name:** 9-Universe_Templates.xls
Workbook Title: Workbook to Produce Universe Requests
Purpose: To help the M+CO and serve as a template for the universe requests.
Attachment(s): No
When to Send to M+CO: The RO does not send this out. It is on the CMS website as referred to in Enclosure IV- Universe Request for Samples to be Reviewed by CMS.
When RO Should Receive Response from M+CO: 7 weeks before the review date
- **File Name:** 12-Model #5 – Letter Transmitting Sample Cases to be Reviewed.doc
Letter Title: Appendix 1 – Model #5 – Letter Transmitting Sample Cases to be Reviewed
Purpose: To let the M+CO know the sample cases selected for review.
Attachment(s): Yes, one attachment.
When to Send to M+CO: 6 weeks before the review date.
When RO Should Receive Response from M+CO: 3 weeks before the review date
- **File Name:** 13-Model #5A – Enclosure I – Minimum Documentation Requirements for Sample Case Files.doc
Attachment Title: Appendix 1 – Model #5A – Enclosure I – Minimum Documentation Requirements for Sample Case Files.
Purpose: To let the M+CO know the minimum documentation a delegated entity listing from the M+CO.
Attachment(s): Serves as an attachment to Model #5 - Letter Transmitting Sample Cases to be Reviewed.
When to Send to M+CO: 6 weeks before the review date.
When RO Should Receive Response from M+CO: 3 weeks before the review date